

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Werner PLASS et al.

Serial No.: 10/631,384

Filed: July 31, 2003

For: Surface Emitting Semiconductor Laser Chip and
Method for Producing the Chip

Examiner: SEFER, Ahmed N.
Group Art: 2826

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February 23, 2007

(Date of Deposit)

Alfred W. Froeblich

Name of applicant, assignor or Registered Representative

Signature

February 23, 2007

Date of Signature

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

S I R:

In compliance with the duty of disclosure under 37 C.F.R. §1.56 and in accordance with the practice under 37 C.F.R. §§1.97 and 1.98, the Examiner's attention is directed to the document listed on the enclosed Form PTO/SB/08A. A copy of the listed document is also enclosed.

This information is being submitted subsequent to the later of three months after the filing date of the present application or the mailing of the first Office Action on the merits, but before the mailing of a final Action or the Notice of Allowance.

In accordance with 37 C.F.R §§1.97(g) and (h), the filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56(b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise

indicated, the date of publication indicated for an item is taken from the face of the item and Applicant reserves the right to prove that the date of publication is in fact different.

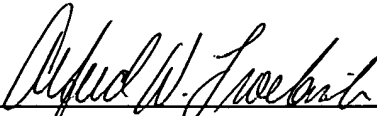
A check in the amount of \$180.00 in payment of the appropriate fee is enclosed. If additional fees or charges are required at this time, they may be charged to our Patent and Trademark Office Deposit Account No. 03-2412.

It is respectfully requested that the above information be considered by the Examiner and that a copy of the enclosed Form PTO/SB/08A be returned indicating that such information has been considered.

Respectfully submitted,

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By


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Dated: February 23, 2007

Substitute for Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/631,384
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Filing Date	July 31, 2003
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First Named Inventor	Werner PLASS
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Art Unit	2826
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Examiner Name	SEFER, Ahmed N.
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Attorney Docket Number	5367-226RCE
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FEB 27 2007

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*

Cite
No. 1

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

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NEIL W. ASHCROFT et al., Cornell University, "Solid State Physics",
Saunders College Publishing, Harcourt Brace College Publishers (1976),
Chapters 4-5, pages 63-94

Examiner
Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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